

LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-041

SERIAL NO.

09/090,754

APPLICANT

Rajmod K. Srivastava

FILING DATE

June 4, 1998

GROUP

1642

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JS	AA	5,188,964	02/23/93	McGuire et al.			
	AB	5,232,833	08/03/93	Sanders et al.			
	AC	5,348,945	09/20/94	Berberian et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
JS	AD	WO 89/12455	12/28/89	PCT				
	AE	WO 90/02564	03/22/90	PCT				
	AF	WO 91/15572	10/17/91	PCT				
	AG	WO 92/01717	02/06/92	PCT				
	AH	WO 92/08484	05/29/92	PCT				
	AI	WO 92/08488	05/29/92	PCT				
	AJ	WO 93/14118	07/22/93	PCT				
	AK	WO 93/17712	09/16/93	PCT				
	AL	WO 93/18146	09/16/93	PCT				
	AM	WO 93/18147	09/16/93	PCT				
	AN	WO 93/18150	09/16/93	PCT				
	AO	WO 93/21529	10/28/93	PCT				
	AP	WO 93/24136	12/09/93	PCT				
	AQ	WO 94/03208	02/17/94	PCT				
	AR	WO 94/04676	03/03/94	PCT				
	AS	WO 94/11513	05/26/94	PCT				
	AT	WO 94/29459	12/22/94	PCT				
	AU	GB 2 251 186A	07/01/92	United Kingdom				

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

JS	AV	Aldovini et al. (1992) "The New Vaccines", <i>Technology Review</i> pp. 24-31.
JS	AW	Barrios et al. (1992) "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines that can circumvent the need for adjuvants and Bacillus Calmette Guérin priming", <i>Eur. J. Immunol.</i> 22:1365-1372.

AX	Basombrío (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462.
AY	Blachere et al. (1993) "Heat Shock Protein Vaccines Against Cancer," <i>Journal of Immunotherapy</i> 14:352-356.
AZ	Blachere and Srivastava (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", <i>J. Cellular Biochem. Keystone Symposia</i> NZ502, p. 124.
BA	Boon "Toward a genetic analysis of tumor rejection antigens", <i>Advances in Cancer Research</i> 58:177-210.
BB	Cohen (1993) "Cancer Vaccines Get A Shot In The Arm", <i>Science</i> 262:841-843.
BC	Craig (1993) "Chaperones: Helpers Along the Pathways to Protein Folding", <i>Science</i> 260:1902-1904.
BD	Elliott et al. (1990) "Naturally Processed Peptides", <i>Nature</i> 348:195-197.
BE	Falk et al. (1991) "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296.
BF	Falk et al. (1990) "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251.
BG	Fedweg and Srivastava (June 13, 1996) "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", Mount Sinai School of Medicine NZ 206, p. 108.
BH	Flynn et al. (1989) "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390.
BI	Flynn et al. (1991) "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730.
BJ	Franklin (1993) "Making vaccines fit the cancer", <i>New Scientist</i> 140:17.
BK	Gething et al. (1992) "Protein Folding in the Cell", <i>Nature</i> 355:33-45.
BL	Globerson and Feldman (1964) "Antigenic specificity of benzo[a]pyrene-induced sarcomas", <i>Journal of the National Cancer Institute</i> 32(6):1229-1242.
BM	Jakob et al. (1993) "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520.
BN	Jardetzky et al. (1991) "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329.
BO	Lahey et al (1987) "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663.
BP	Lanzavecchia (1993) "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944.
BQ	Lévy (1991) "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274.
BR	Li and Srivastava (1993) "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151.
BS	Lindquist and Craig (1988) "The heat-shock proteins", <i>Ann. Rev. Genet.</i> 22:631-677.
BT	Luescher et al. (1991) "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77.
BU	Lukacs et al. (1993) "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348.
BV	Lussow et al. (1991) "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur. J. Immunol.</i> 21:2297-2302.

used in support of 112nd para regⁿ.

B	BW	Madden et al. (1991) "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325.
	BX	Maki et al. (1993) "Mapping of the Genes for Human Endoplasmic Reticular Heat Shock Protein gp96/grp94", <i>Somatic Cell Mol. Genetics</i> 19(1):73-81.
	BY	Maki et al. (1990) "Human homologue of murine tumor rejection antigen gp96: 5'-Regulatory and coding regions and relationship to stress-induced proteins", <i>Proc. Natl. Acad. Sci. USA</i> 87:5658-5663.
	BZ	McCall et al. (1989) "Biotherapy: A New Dimension in Cancer Treatment", <i>Biotechnology</i> 7:231-240.
	CA	Melnick (1985) "Virus Vaccines: An Overview", Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, <i>American Society for Microbiology</i> pp. 1-13.
	CB	Nelson et al. (1992) "The Translation Machinery and 70 kd Heat Shock Protein Cooperate in Protein Synthesis", <i>Cell</i> 71:97-105.
	CC	Palladino et al. (1987) "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079.
	CD	Prehn and Main (1957) "Immunity to methylcholanthrene-induced sarcomas", <i>Journal of the National Cancer Institute</i> 18(6):769-778.
	CE	Rothman (1989) "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601.
	CF	Rötzschke et al. (1990) "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251.
	CG	Salk et al. (1993) "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272.
	CH	Schumacher et al. (1991) "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706.
	CI	Srivastava et al. (1991) "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658.
	CJ	Srivastava et al. (1984) "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422.
	CK	Srivastava et al. (1989) "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343.
	CL	Srivastava et al. (1988) "Individually Distinct Transplantation Antigens of Chemically Induced Mouse", <i>Immunology Today</i> 9:78-83.
	CM	Srivastava et al. (1988) "Chromosomal Assignment of the Gene Encoding the Mouse Tumor Rejection Antigen gp96", <i>Immunogenetics</i> 28:205-207.
	CN	Srivastava et al. (1987) "5'-Structural analysis of genes encoding polymorphic antigens of chemically induced tumors", <i>Proc. Natl. Acad. Sci. USA</i> 84:3807-3811.
	CO	Srivastava et al. (1993) "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation", <i>Advances in Cancer Research</i> 62:153-177.
	CP	Srivastava and Maki (1991) "Stress-induced proteins in immune response cancer", <i>Microbiol. Immunol.</i> 167:109-123.
	CQ	Srivastava and Heike (1986) "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64.
	CR	Srivastava et al. (1986) "Tumor rejection antigens of chemically induced sarcomas of inbred mice", <i>Proc. Natl. Acad. Sci. USA</i> 83:3407-3411.
	CS	Subbarao et al. (1992) "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57.

	CT	Szikora et al. (1990) "Structure of the gene of tum-transplantation antigen P35B presence of a point mutation in the antigenic allele", <i>EMBO J.</i> 9(4):1041-1050.
	CU	Udono (1993) "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225).
	CV	Udono et al. (1993) "Heat Shock Protein 70-associated Peptides Elicit Specific Cancer Immunity", <i>J. Exp. Med.</i> 178:1391-1396.
	CW	Ullrich et al. (1986) "A mouse tumor-specific transplantation antigen is a heat shock-related protein", <i>Proc. Natl. Acad. Sci. USA</i> 83:3121-3125.
	CX	Vanbuskirk et al. (1989) "peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809.
	CY	Welch et al. (1982), "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959.
	CZ	Welch et al. (1985) "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237.
	DA	Welch (1993) "How Cells Respond to Stress", <i>Scientific American</i> pp. 56-64.
	DB	Young (1990) "Stress Proteins and Immunology", <i>Annu. Rev. Immunol.</i> 8:401-420.
	DC	Yu et al. (1991) "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627.

EXAMINER

DATE CONSIDERED

9/15/99

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-041-999

SERIAL NO.

09/090,754

APPLICANT

Pramod K. SRIVASTAVA


FILING DATE

June 4, 1998

GROUP

1642



U.S. PATENT DOCUMENTS

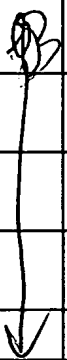
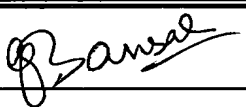
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	DD	4,690,915	9/1/87	Rosenberg			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	DE	Blachere et al., 1993, "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells/antigens", <i>J. Cell Biochem. Suppl.</i> 17D:124 (Abstract NZ 502).
	DF	Levinson et al., 1979 "Metal Binding Drugs Induce Synthesis of Four Proteins in Normal Cells", <i>Biol. Trace Element Research</i> 1:15-23.
	DG	Martin et al., 1986, "Role of Murine Tumor Models in Cancer Treatment Research", <i>Cancer Res.</i> 46: 2189-2192.
	DH	Mulé et al., 1984, "Adoptive Immunotherapy of Established Pulmonary Metastases with LAK cells and Recombinant Interleukin-2", <i>Science</i> 225: 1487-1489.
	DI	Nieland et al., 1996, "Isolation of an immunodominant viral peptide that is endogenously bound to the stress protein GP96/GRP94", <i>Proc. Natl. Acad. Sci. USA</i> 93: 6135-6139.
	DJ	Srivastava et al., 1993, "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J. Cell Biochem. Suppl.</i> 17D:94 (Abstract NZ014).
	DK	Suto, R. and Srivastava, P.K., 1995, "A Mechanism for the Specific Immunogenicity of Heat Shock Protein-Chaperoned Peptides", <i>Science</i> 269: 1585-1588.
	DL	Thomas et al., 1982, "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Springs Harbor Symp Quant. Biol.</i> 46: 985-996.
	DM	Arnold et al., 1995, "Cross-priming of minor histocompatibility antigen-specific cytotoxic T cells upon immunization with the heat shock protein gp96", <i>J. Exp. Med.</i> 182:885-889.
	DN	Cole & Ostrand-Rosenburg, 1991, "Rejection of allogeneic tumor is not determined by host responses to MHC class I molecules and is mediated by CD4 ⁺ CD8 ⁺ T lymphocytes that are not lytic for the tumor", <i>Cellular Immunol.</i> 134:480-490.
	DO	Engman et al., 1990, "Human humoral immunity to hsp70 during <i>Trypanosoma cruzi</i> infection", <i>J. of Immunol.</i> 144:3987-3991.
	DP	Estes et al., 1993, "Characterization of an unusual cell type (CD4 ⁺ CD3 ⁻) expanded by helminth infection and related to the parasite stress response", <i>J. of Immunol.</i> 150:1846-1856.
	DQ	C. Ezzel, 1995, "Cancer 'Vaccines': An idea whose time has come?", <i>J. NIH Res.</i> 7:46-49.
	DR	Jindal & Young, 1992, "Vaccinia virus infection induces a stress response that leads to association of Hsp70 with viral proteins", <i>J. of Virol.</i> 66:5357-5362.
	DS	Johnson et al., 1989, "The 86-kilodalton antigen from <i>Schistosoma mansoni</i> is a heat-shock protein homologous to yeast HSP-90", <i>Mol. and Biochem. Parasitol.</i> 36:19-28.
	DT	Luft et al., 1991, "Immunologic and structural characterization of the dominant 66- to 73-kDa antigens of <i>Borrelia burgdorferi</i> ", <i>J. of Immunol.</i> 146:2776-2782.

	DU	Srivastava et al., 1994, "Heat shock proteins transfer peptides during antigen processing and CTL priming", <i>Immunogenetics</i> 39:93-98.
	DV	Udono & Srivastava, 1994, "Comparison of tumor-specific immunogenicities of stress-induced proteins gp96, hsp90, and hsp70", <i>J. of Immunol.</i> 152:5398-5403.
	DW	Udono et al., 1994, "Cellular requirements for tumor-specific immunity elicited by heat shock proteins: Tumor rejection antigen gp96 primes CD8 ⁺ T cells <i>in vivo</i> ", <i>PNAS USA</i> 91:3077-3081.
	DX	White et al., 1988, "Differential distribution of the adenovirus E1A proteins and colocalization of E1A with the 70-kilodalton cellular heat shock protein in infected cells", <i>J. of Virol.</i> 62:4153-4166.
	DY	International Search Report, Related PCT Application No. PCT/US96/14557
EXAMINER 		DATE CONSIDERED 9/15/99
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>		

LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-041

APPLICATION NO.

09/090,754

APPLICANT

Pramod K. Srivastava

FILING DATE

June 4, 1998

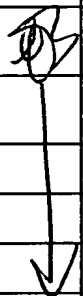
GROUP

1642

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	DZ	DE 196 02 985 A1	07/31/97	Germany			X	
	EA	WO 97/26910	07/31/97	PCT			X	
	EB	WO 97/06821	02/27/97	PCT				
	EC	WO 97/06828	02/27/97	PCT				
	ED	WO 97/06685	02/27/97	PCT				

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER



DATE CONSIDERED

9/15/99

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-041-999

Application Number

09/090,754

APPLICANT

Pramod K. Srivastava

FILING DATE

June 4, 1998

GROUP

1642

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
EE		5,747,332	05/05/1998	Wallen et al.			09/20/1996
EF		5,750,119	05/12/1998	Srivastava			09/30/1994
EG		5,830,464	11/03/1998	Srivastava			02/07/1997
EH		5,837,251	11/17/1998	Srivastava			09/13/1995
EI		08/527,547		Srivastava			09/13/1995
EJ		08/210,421		Srivastava et al.			03/13/1994
EK		08/704,727		Srivastava			09/13/1996
EL		08/527,546		Srivastava			09/13/1995
EM		08/180,685		Srivastava et al.			01/13/1994
EN		08/462,395		Srivastava et al.			06/05/1995
EO		08/796,319		Srivastava et al.			02/07/1997
EP		08/726,967		Srivastava et al.			10/07/1996
EQ		08/988,878		Srivastava			12/11/1997
ER		08/951,789		Srivastava et al.			10/16/1997
ES		08/711,918		Srivastava			09/10/1996
ET		09/174,884		Srivastava et al.			10/19/1998
EU		09/061,365		Srivastava			04/16/1998
EV		09/090,754		Srivastava			06/04/1998
EW		09/150,041		Srivastava			09/09/1998
EX		09/150,204		Srivastava			09/09/1998
EY		09/150,039		Srivastava			09/09/1998
EZ		09/150,203		Srivastava			09/09/1998
FA		09/150,035		Srivastava			09/09/1998
FB		09/135,712		Srivastava			08/18/1998
FC		09/135,711		Srivastava			08/18/1998
FD		09/135,718		Srivastava			08/18/1998
FE		09/107,696		Srivastava			06/30/1998
FF		60/103,115		Srivastava			10/05/1998
FG		09/166,401		Srivastava			10/05/1998

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	FH	WO 98/12208	03/26/1998	PCT				
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)								
	FI	Written Opinion dated July 1, 1997, Related PCT Application No. PCT/US96/14557						
	FJ	Sadis and Hightower, 1992, "Unfolded proteins stimulate molecular chaperone Hsc70 ATPase by accelerating ADP/ATP exchange", <i>Biochemistry</i> 31:9406-9412.						
EXAMINER				DATE CONSIDERED 9/15/99				
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>								